



DPW

Confirmation No.: 3260

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christopher W. Coldren et al. Examiner: Not yet assigned  
Serial No.: 10/724,942 Group Art Unit: 2874  
Filed: December 1, 2003 Docket: G&C 122.46-US-U1  
Title: TRAVELING-WAVE OPTOELECTRONIC WAVELENGTH CONVERTER

CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on January 28, 2005.

By: [Signature]  
Name: George H. Gates

**MAIL STOP AMENDMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing a Certificate of Mailing under 37 CFR 1.8.
- ☒ Supplemental Information Disclosure Statement and Form PTO-1449.
- ☒ Cited Reference(s).
- ☒ Return postcard.

Please consider this a **PETITION FOR EXTENSION OF TIME** for a sufficient number of months to enter these papers, if appropriate.

Please charge all fees to Deposit Account No. 50-0494 of Gates & Cooper LLP. A duplicate of this paper is enclosed.

**Customer Number 22462**  
**GATES & COOPER LLP**  
Howard Hughes Center  
6701 Center Drive West, Suite 1050  
Los Angeles, CA 90045  
(310) 641-8797

By: [Signature]  
Name: George H. Gates  
Reg. No.: 33,500  
GHG/sjm

(PTO TRANSMITTAL - GENERAL)

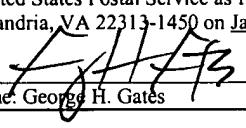


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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT(37 C.F.R. §1.97(b))

MAIL STOP AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner.

This statement should be considered because it is submitted before the mailing date of a first Office Action on-the-merits. Accordingly, no fee is due for consideration of the items listed on the enclosed Form 1449.

In accordance with 37 C.F.R. §1.98(a)(2), a copy of each foreign patent document and each non-patent document listed on the enclosed Form 1449 is provided.

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art". Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

Please direct any response or inquiry to the below-signed attorney at (310) 641-8797.

Respectfully submitted,

GATES & COOPER LLP  
Attorneys for Applicant(s)

Howard Hughes Center  
6701 Center Drive West, Suite 1050  
Los Angeles, California 90045  
(310) 641-8797

Date: January 28, 2005

GHG/sjm

By: 

George H. Gates

Reg. No.: 33,500

<b>Form 1449*</b> <b>INFORMATION DISCLOSURE STATEMENT</b> <b>IN AN APPLICATION</b>	Docket Number: G&C 122.46-US-U1	Application Number: 10/724,942
	Applicants: Christopher W. Coldren et al.	
	Filing Date: December 1, 2003	Group Art Unit: 2874

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
FOREIGN PATENTS							
	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
NON-PATENT DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
			Akage, Y., et al., "Wide bandwidth of over 50 GHz travelling-wave electrode electroabsorption modulator integrated DFB lasers," Electronics Letters, 37(5):299-300, March 2001				
			Akulova, Y.A., et al., "Widely-tunable electroabsorption-modulated sampled-grating DBR laser transmitter," J. Selected Topics in Quantum Electronics, 8(6):1349-1357, Nov/Dec 2002				
			Aoki, M., et al., "InGaAs/InGaAsP MQW electroabsorption modulator integrated with a DFB laser fabricated by band-gap energy control selective area MOCVD," IEEE Journal of Quantum Electronics, 29(6):2088-2096, June 1993				
			Barton, J.S., et al., "Integration of a Mach-Zehnder Modulator with Sampled Grating Distributed Bragg Reflector Laser," Proc. Integrated Photonics Research Conference, paper no. 1FC3-1, July 17-19, 2002				
			Coldren, L.S., "Widely-Tunable Chip-Scale Transmitters and Wavelength Converters," Proc. Integrated Photonics Research Topical Meeting, OSA, Washington, D.C., June 16, 2003				
			Dagli, N., "Wide bandwidth lasers and modulators for RF photonics," IEEE Trans. Microwave Theory and Tech., 47(7):1151-1171, July 1999				
			Jayaraman, V., et al., "Theory, design, and performance of extended tuning range semiconductor lasers with sampled gratings," IEEE Journal of Quantum Electronics, 29(6):1824-1834, June 1993				
			Kim, H., et al., "Chirp characteristics of dual-drive Mach-Zehnder modulator with a finite DC extinction ratio," IEEE Photonics Technology Letters, 14(3):298-300, March 2002				
			Kodama, S., et al., "320 Gb/s optical gate monolithically integrating photodiode and electroabsorption modulator," Electronics Letts., 39(4):383-385, February 20, 2003				
			Li, X., et al., "Modeling and design of a DFB laser integrated electroabsorption modulator," IEEE Journal of Quantum Electronics, 34(10):1807-1815, Oct. 1998				
			Mason, B., et al., "Widely tunable sampled grating DBR laser with integrated electroabsorption modulator," IEEE Photonics Technology Letters, 11(6):638-640, June 1999				
			Skogen, E.J., et al., "A quantum-well-intermixing process for wavelength-agile photonic integrated circuits," IEEE Journal of Selected Topics in Quantum Electronics, 8(4):863-869, July-Aug. 2002				
			Walker, R.G., "High-speed III-V semiconductor Intensity Modulators," IEEE J. Quantum Electronics, 27(3):654-667, March 1991				

EXAMINER:	DATE CONSIDERED:
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	